

FORM PTO-1390 (Modified)  
(REV 10-95)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

990348

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR 1.5)

09/423274

INTERNATIONAL APPLICATION NO.

PCT/DE98/01182

INTERNATIONAL FILING DATE

24 April 1998

PRIORITY DATE CLAIMED

25 April 1997

TITLE OF INVENTION

Application and Method for Checking Security Documents with Effective Optical Diffraction Security Layer

APPLICANT(S) FOR DO/EO/US

PUTTKAMMER, Frank

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
  - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☒ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☐ A copy of the International Search Report (PCT/ISA/210).
8. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
9. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
10. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

## Items 13 to 18 below concern document(s) or information included:

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.  
A **SECOND** or **SUBSEQUENT** preliminary amendment.
16. ☐ A substitute specification.
17. ☐ A change of power of attorney and/or address letter.
18. ☒ Certificate of Mailing by Express Mail
19. ☒ Other items or information:

a.) Post Card Receipt

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR 1.5) <b>09/423274</b>	INTERNATIONAL APPLICATION NO. <b>PCT/DE98/01182</b>	ATTORNEY'S DOCKET NUMBER <b>990348</b>
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20. The following fees are submitted.

**BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)) :**

- |  |                 |
|--|-----------------|
| <input checked="" type="checkbox"/> Search Report has been prepared by the EPO or JPO .....  | <b>\$840.00</b> |
| <input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) .....  | <b>\$670.00</b> |
| <input type="checkbox"/> No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2)) ..... | <b>\$760.00</b> |
| <input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO .....          | <b>\$970.00</b> |
| <input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4) .....       | <b>\$96.00</b>  |

**ENTER APPROPRIATE BASIC FEE AMOUNT =****\$840.00**
 Surcharge of **\$130.00** for furnishing the oath or declaration later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).
**\$0.00**

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE
Total claims	16 - 20 =	0	x \$18.00
Independent claims	2 - 3 =	0	x \$78.00
Multiple Dependent Claims (check if applicable) <input type="checkbox"/>			

**\$0.00****TOTAL OF ABOVE CALCULATIONS =****\$840.00**
 Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28) (check if applicable). ☐
**\$0.00****SUBTOTAL =****\$840.00**
 Processing fee of **\$130.00** for furnishing the English translation later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).
**\$0.00****TOTAL NATIONAL FEE =****\$840.00**
 Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable). ☐
**\$0.00****TOTAL FEES ENCLOSED =****\$840.00**

Amount to be refunded	\$
charged	\$

- ☒ A check in the amount of **\$840.00** to cover the above fees is enclosed.
- ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.
- ☐ The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment to Deposit Account No. \_\_\_\_\_ A duplicate copy of this sheet is enclosed.

**NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.**

SEND ALL CORRESPONDENCE TO:

Law Offices of Karl Hormann  
86 Sparks Street  
Cambridge, MA 02138-2216  
Tel.: (617)-491-8867

SIGNATURE

**Karl Hormann**

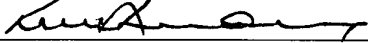
NAME

**26,470**

REGISTRATION NUMBER

**25 October 1999**

DATE

<b>CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)</b>			Docket No. <b>990348</b>	
Applicant(s):				
Serial No. <b>09/423274</b>	Filing Date <b>25 October 1999</b>	Examiner		Group Art Unit <b>PCT</b>
Invention: <b>Method of Checking Documents Provided with Layers Functioning by Optical Refraction</b>				
<p>I hereby certify that this <u><b>Application to Commence the U.S. National Phase of PCT/DE98/01182</b></u> (Identify type of correspondence)</p> <p>is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231</p> <p>on <u><b>25 October 1999</b></u> (Date)</p> <p><u><b>Karl Hormann</b></u> (Typed or Printed Name of Person Mailing Correspondence)</p> <p><u></u> (Signature of Person Mailing Correspondence)</p> <p><u><b>EJ612064852US</b></u> ( "Express Mail" Mailing Label Number)</p>				

**Note: Each paper must have its own certificate of mailing.**